

**Data Reporting Services Provider (DRSP)**

**Ad hoc notification**

**Legal name of DRSP**

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| --- |
|  |

**Firm reference number (FRN)**

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**Purpose of this form**

You should use this form (MAR 9 Annex 9R) if you are a DRSP that wishes to notify us about:

* breaches in physical and electronic security measures;
* service interruptions or connection disruptions;
* errors or omissions in the transaction report caused by the Approved reporting mechanism (ARM); or
* any matter which you are required to notify us of under MAR 9.3.10R(2).

You should include root cause analysis and steps taken to ensure these do not occur again where relevant, or provide subsequently as soon as possible.

Please see the table ‘DRSP authorisation and supervisory forms’ on the DRSP page of our website ([www.fca.org.uk/markets/data-reporting-services-providers-drsps/drsp-authorisation-supervision-forms](http://www.fca.org.uk/markets/data-reporting-services-providers-drsps/drsp-authorisation-supervision-forms))

to check what each DRSP authorisation and supervisory form is for and when you should use them.

**Important information - read before completing this form**

Please keep a copy of the forms you complete and any supporting documents you include with this notification for your future reference.

To comply with the UK General Data Protection Regulation and the Data Protection Act 2018, please note that any personal information provided to us will be used to discharge our statutory functions under the Data Reporting Services Regulations 2024 and other relevant legislation, and may be disclosed to third parties for those purposes.

**It is important you provide accurate and complete information, and disclose all relevant information. If you do not, you may be committing an offence under section 398 of the Financial Services and Markets Act 2000. If necessary, you should seek appropriate professional advice before supplying information to us. If any information is inaccurate or incomplete, it may take us longer to process this notification. You must notify us immediately of any significant change to the information provided.**

**Terms in this form**

In this form we use the following terms:

* ‘We’, 'our', or ‘us’ refers to the Financial Conduct Authority (FCA)
* ‘Applicant firm’ refers to the person notifying ad hoc change
* ‘You’ refers to the person(s) signing the form on behalf of the applicant firm
* ‘DRSP’ refers to Data Reporting Services Provider
* ‘MAR 9’ refers to our guidance in the [FCA Handbook](https://www.handbook.fca.org.uk/handbook/MAR/9/?view=chapter)

**Filling in in the form**

**1** If you are using your computer to complete the form:

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question and
* sign the declaration in this form

**2** If you are filling in the form by hand:

* use black ink
* write clearly in block capitals, and
* sign the declaration in this form

**3** If you think a question is not relevant to you, write 'not applicable' and explain why.

**4** If you leave a question blank, you do not sign the declaration or you do not attach the required supporting information without telling us why, we will treat the notification as incomplete. This will increase the time taken to assess your notification.

**5** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

**6** Submit the form by email to: [MDIS@fca.org.uk](mailto:MDIS@fca.org.uk)

**7** Alternatively, you may post the application form to the FCA at:

The Market Data Infrastructure Supervision Team

The Financial Conduct Authority

12 Endeavour Square

London

E20 1JN

**Contents**

1 Contact details 3

2 Notification details 4

3 Declaration 7

|  |  |
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| 1 | Contact details |

* 1. **Contact person at the DRSP for this notification**

|  |  |
| --- | --- |
| Title |  |

|  |  |
| --- | --- |
| First name(s) |  |

|  |  |
| --- | --- |
| Surname |  |

|  |  |
| --- | --- |
| Job title |  |

|  |  |
| --- | --- |
| DRSP name |  |

|  |  |
| --- | --- |
| Business address |  |
|  |
|  |
|  |
| Postcode |  |

|  |  |
| --- | --- |
| Phone number (including STD code) |  |

|  |  |
| --- | --- |
| Email address |  |

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| 2 | Notification details |

**2.1 Data reporting service(s) impacted by the issue:**

Approved Reporting Mechanism (ARM)

Approved Publication Arrangement (APA)

Consolidated Tape Provider (CTP)

2.2 Description of the issue, including the date(s) and time(s). Supporting documentation to be provided where appropriate.

Where the issue is being reported under MAR 9.3.10R(2), please include in the description the relevant rule or regulatory obligation and the reason why you are unable to comply with it.

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2.3 Details of the client(s) impacted by the issue (i.e. number and list of affected clients), and confirmation they have been notified

For the ARM, please also confirm you have notified the competent authority to whom the ARM reported the transaction report about the error or omission

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2.4 How the issue was identified and the root cause analysis

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2.5 Period in which the issue occurred and number of impacted reports, if applicable\*

\*If not known, please provide estimate of full and final volumes, as well as date by which you expect to provide this information

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2.6 Details of actions taken so far to remediate and ensure non-reoccurrence, and any actions that remain outstanding

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2.7 Details of any additional information relevant to this notification

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| 3 | Declaration |

**Warning**

Knowingly or recklessly giving the FCA information which is false or misleading in material particular may be an offence under section 398 of the Financial Services and Markets Act 2000. If necessary, appropriate professional advice should be sought before supplying information to us. If any information is inaccurate or incomplete this notification may take longer to be processed. You must notify us immediately of any significant change to the information provided. If you do not, it may take longer to be processed.

**Data protection**

For the purposes of complying with the UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018, please note that any personal information provided to us will be used to discharge our statutory functions under the Data Reporting Services Regulations 2024 and other relevant legislation, and may be disclosed to third parties for those purposes.

**Declaration**

By submitting this notification form:

* I confirm that the information in this application is accurate and complete to the best of my knowledge and belief.
* I am aware that it is an offence to knowingly or recklessly give the FCA information that is false or misleading in a material particular.
* I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this form, including (if appropriate) requesting further information or documents from the notifier and/or making relevant enquiries with third parties.
* I will notify the FCA immediately if there is a significant change to the information given in this notification.

Tick here to confirm you have read and understood this declaration.

|  |  |
| --- | --- |
| **Date** |  |
| **Name of signatory[[1]](#footnote-2)** |  |
| **Position of signatory** |  |
| **Signature** |  |

1. The signatory must be a member of the management body of the DRSP [↑](#footnote-ref-2)